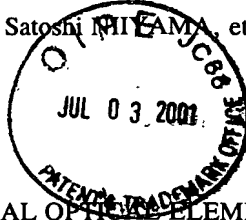


IN RE APPLICATION OF: Satoshi MIYAMA, et al.

SERIAL NO.: 09/807,425

FILED: 20 APRIL 2001

FOR: LIQUID CRYSTAL OPTIC ELEMENT AND METHOD FOR ITS PRODUCTION



ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

Sir:

Transmitted herewith is an amendment in the above-identified application.

- No additional fee is required.
- Small entity status of this application under 37 C.F.R. §1.9 and §1.27 has been established by a verified statement previously submitted.
- Small entity status of this application under 37 C.F.R. §1.9 and §1.27 has been established by a verified statement submitted herewith.
- Additional documents filed herewith: Preliminary Amendment/Declaration/Response to Notification Notification of Missing Requirements

The fee has been calculated as shown below.

|                          | (Col. 1)                                       |       | (Col. 2)                           | (Col. 3)      | SMALL ENTITY |                | OTHER THAN A SMALL ENTITY |                |
|--------------------------|--|-------|------------------------------------|---------------|--------------|----------------|---------------------------|----------------|
|                          | CLAIMS REMAINING AFTER                         |       | HIGHEST NUMBER PREVIOUSLY PAID FOR | PRESENT EXTRA | RATE         | ADDITIONAL FEE | RATE                      | ADDITIONAL FEE |
| TOTAL                    | * 23   | MINUS | ** 20                              | = 3           | X9 =         | \$             | X18 =                     | \$ 54.00       |
| INDEP                    | * 2  | MINUS | *** 3                              | = 0           | X40 =        | \$             | X80 =                     | \$ .00         |
| <input type="checkbox"/> | FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM |       |                                    |               | +135=        | \$             | +270=                     | \$             |
| TOTAL                    |  |       |                                    |               |              | \$             | TOTAL                     | \$ 54.00       |

**XX** A check in the amount of \$ 54.00 is attached.

**XX** Please charge any additional fees for the papers being filed herewith and for which no check is enclosed herewith, or credit any overpayment to deposit Account No. 15-0030. A duplicate copy of this sheet is enclosed.

**XX** If these papers are not considered timely filed by the Patent and Trademark Office, then a petition is hereby made under 37 C.F.R. §1.136, and any additional fees required under 37 C.F.R. §1.136 for any necessary extension of time may be charged to deposit Account No. 15-0030. A duplicate copy of this sheet is enclosed.



22850

OBLON, SPIVAK, McCLELLAND,  
MAIER & NEUSTADT, P.C.

*Norman F. Oblon*

Norman F. Oblon  
Attorney of Record  
Registration No. 24,618  
Surinder Sachar  
Registration No. 34,423

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(703) 413-3000

\*If the entry in Column 2 is less than the entry in Column 1 write "0" in Column 3.  
\*\*If the "Highest Number Previously paid for" IN THIS SPACE is less than 20 write "20" in this space.  
\*\*\*If the "Highest Number Previously paid for" IN THIS SPACE is less than 3 write "3" in this space.

DOCKET NO.: 206228US0PCT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

IN RE APPLICATION OF: Satoshi NIIYAMA, et al.

SERIAL NUMBER: 09/807,425

FILED: 20 APRIL 2001

FOR: LIQUID CRYSTAL OPTICAL ELEMENT AND METHOD FOR ITS PRODUCTION

**RESPONSE TO NOTICE OF MISSING REQUIREMENT UNDER 35 U.S.C. 371**

ASSISTANT COMMISSIONER FOR PATENTS & TRADEMARKS

WASHINGTON, D.C. 20231

SIR:

Responsive to the notification dated **MAY 22, 2001**, and in accordance with the provisions of 35 U.S.C. 371, Applicants submit herewith a Rule 63 Declaration and a Preliminary Amendment.

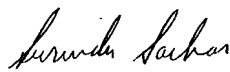
The required surcharge was previously paid.

In light of the foregoing, this application is deemed to be in proper condition for examination and such favorable action is earnestly solicited.

Our check in the amount of \$54.00- is attached hereto. If any variance exists between the amount enclosed, please charge or credit the difference to our Deposit Account No. 15-0030. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

OBLON, SPIVAK, McCLELLAND,  
MAIER & NEUSTADT, P.C.



Norman F. Oblon  
Attorney of Record  
Registration No. 24,618  
Surinder Sachar  
Registration No. 34,423



**22850**



UNITED STATES PATENT AND TRADEMARK OFFICE

URGENT

Commissioner for Patents, Box PCT  
United States Patent and Trademark Office  
Washington, D.C. 20231  
www.uspto.gov

U.S. APPLICATION NO.

FIRST NAMED APPLICANT

ATTY. DOCKET NO.

09/807425

NIIYAMA

S 206228US0PCT

INTERNATIONAL APPLICATION NO.

PCT/JP99/05765

I.A. FILING DATE

PRIORITY DATE

022850 5611  
OBLON SPIVAK MCCLELLAND MAIER & NEU  
FOURTH FLOOR  
1755 JEFFERSON DAVIS HIGHWAY  
ARLINGTON VA 22202

10/09/99 10/20/98

DATE MAILED:

05/22/01

**NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)**

1. The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as  a Designated Office (37 CFR 1.494)  an Elected Office (37 CFR 1.495):

- U.S. Basic National Fee.
- Copy of the international application.
- Oath or Declaration of inventor(s).
- Copy of Article 19 amendments.
- Priority Document.
- The International Preliminary Examination Report in English and its Annexes, if any.
- Translation of Annexes to the International Preliminary Examination Report into English.
- Indication of Small Entity Status.
- Translation of the international application into English.
- Translation of Article 19 amendments into English.
- Other:

RECEIVED  
MAY 24 2001

OBLON SPIVAK, MCCLELLAND MAIER & NEUSTADT,

2.  Applicant has requested early processing under 35 U.S.C. 371(f) but has not filed the following indicated items and/or the indicated items in paragraph 3 below. The Basic National Fee and the copy of the international application must be filed prior to 20 or 30 months from the priority date to avoid abandonment.

- U.S. Basic National Fee.
- Copy of the international application.

3. The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- a. Translation of the application into English. A processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date.
- The current translation is defective for the reasons indicated on the attached Notice of Defective Translation.
- b. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(f)).
- c. Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), properly identifying the application (preferably by the International application number and international filing date). A surcharge will be required if submitted later than the appropriate 20 or 30 months from the priority date.
- The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO/917.
- d. Surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)).

4. Additional claim fees of \$ \_\_\_\_\_ as a  large entity  small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due (37 CFR 1.492(g)). See attached PTO-875.

5.  Applicant has not submitted the required sequence listing pursuant to 37 CFR 1.821-1.825. See attached PCT/DO/EO/920.

**ALL OF THE ITEMS SET FORTH IN 3(a)-3(d), 4 AND 5 ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 22 OR 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

- 6. If box 3a or 3c is checked, a translation of the Annexes **MUST** be submitted no later than the time period set above or the Annexes will be cancelled. A processing fee will be required if submitted later than 20 or 30 months from the priority date.
- 7.  The Article 19 amendments are cancelled since a translation was not provided by the appropriate 20 (37 CFR 1.494(d)) or 30 (37 CFR 1.495(d)) months from the priority date.

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above. (37 CFR 1.5)

**A copy of this notice MUST be returned with this response.**

- Enclosed:  PCT/DO/EO/917  Notice of Defective Translation
- PTO-875  PCT/DO/EO/920

BEST AVAILABLE COPY

FORM PCT/DO/EO/905 (March 2001)

Lamont Hunter, Paralegal  
Telephone: 703 305-3686